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Our Case No.: 10466/222

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Ashkenazi et al.

Serial No.: 09/991,854

Filing Date: November 14, 2001

For: SECRETED AND  
TRANSMEMBRANE  
POLYPEPTIDES AND NUCLEIC  
ACIDS ENCODING THE SAME

Examiner: To be assigned

Group Art Unit No.: 1645

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MAY 29 2002

TECH CENTER 1600/2900

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
Washington, D.C. 20231

Dear Sir:

In compliance with the duty of disclosure under 37 C.F.R. § 1.56, it is respectfully requested that this Information Disclosure Statement be entered and the documents listed below and on the attached Form PTO-1449 be considered by the Examiner and made of record. Copies of the listed documents required by 37 C.F.R. § 1.98(a)(2) are enclosed for the convenience of the Examiner.

The references now cited are the following:

**OTHER ART**

1. Blast Results A1-A18, GenBank
2. Blast Results, B1-B3, Dayhoff

In accordance with 37 C.F.R. § 1.97(g),(h), this Information Disclosure Statement is not to be construed as a representation that a search has been made and is not to be construed to be an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56(b).

This Information Disclosure Statement is being filed prior to the receipt of the first Official Action reflecting an examination on the merits and hence is believed to be timely filed in accordance with 37 C.F.R. § 1.97(b). No fees are believed to be due in connection with filing of this Information Disclosure Statement, however, should any fees under 37 C.F.R. §§ 1.16 to 1.21 be deemed necessary for any reason relating to these material, the Commissioner is hereby authorized to deduct said fees from Brinks Hofer Gilson & Lione Deposit Account No. 23-1925. A duplicate copy of this document is enclosed.

Applicant(s) respectfully request that the listed documents be made of record in the present case.

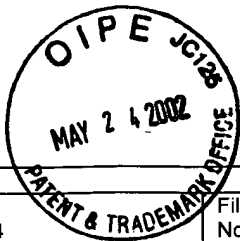
Respectfully submitted,



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Paul E. Rauch, Ph.D.  
Registration No. 38,591  
Attorney for Applicant(s)

BRINKS HOFER GILSON & LIONE  
P.O. Box 10395  
Chicago, IL 60610  
(312) 321-4200



05-28-02

GP#1645

|   |                                  |                            |                        |
|---|----------------------------------|----------------------------|------------------------|
| TRANSMITTAL LETTER  |                                  |                            | Case No. 10466/22      |
| Serial No.<br>09/991,854  | Filing Date<br>November 14, 2001 | Examiner<br>To be assigned | Group Art Unit<br>1645 |
| Inventor(s)<br>Ashkenazi et al.   |                                  |                            | MAY 29 2002            |
| Title of Invention<br>SECRETED AND TRANSMEMBRANE POLYPEPTIDES AND NUCLEIC ACIDS ENCODING THE SAME |                                  |                            |                        |

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TO THE COMMISSIONER FOR PATENTS

Transmitted herewith is an Information Disclosure Statement; Form PTO-1449; 2 cited references; Statement regarding Relevant Priority Documents and return postcard.

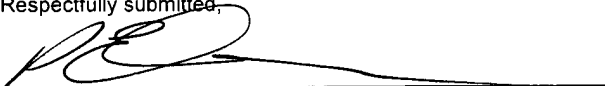
- ☐ Small entity status of this application under 37 CFR § 1.27 has been established by verified statement previously submitted.
- ☐ A verified statement to establish small entity status under 37 CFR §§ 1.9 and 1.27 is enclosed.
- ☐ Petition for a \_\_\_\_\_ month extension of time.
- ☒ No additional fee is required.
- ☐ The fee has been calculated as shown below:

|   | Claims Remaining After Amendment |       | Highest No. Previously Paid For | Present Extra |
|---|----------------------------------|-------|---------------------------------|---------------|
| Total                                     |                                  | Minus |                                 |               |
| Indep.                                    |                                  | Minus |                                 |               |
| First Presentation of Multiple Dep. Claim |                                  |       |                                 |               |

| Small Entity    |           | or | Other Than Small Entity |           |
|-----------------|-----------|----|-------------------------|-----------|
| Rate            | Add'l Fee |    | Rate                    | Add'l Fee |
| x \$9=          |           |    | x \$18=                 |           |
| x 42=           |           |    | x \$84=                 |           |
| +\$140=         |           |    | + \$280=                |           |
| Total add'l fee | \$        |    | Total add'l fee         | \$        |

- ☐ Please charge Deposit Account No. 23-1925 (BRINKS HOFER GILSON & LIONE) in the amount of \$\_\_\_\_\_. A duplicate copy of this sheet is enclosed.
- ☐ A check in the amount of \$\_\_\_\_\_ to cover the filing fee is enclosed.
- ☒ The Commissioner is hereby authorized to charge payment of any additional filing fees required under 37 CFR § 1.16 and any patent application processing fees under 37 CFR § 1.17 associated with this communication or credit any overpayment to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.
- ☒ I hereby petition under 37 CFR § 1.136(a) for any extension of time required to ensure that this paper is timely filed. Please charge any associated fees which have not otherwise been paid to Deposit Account No. 23-1925. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

  
Paul E. Rauch, Ph.D.  
Registration No. 38,591  
Attorney for Applicant

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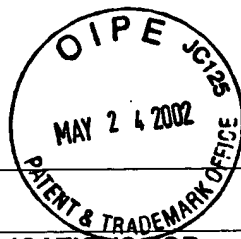
I hereby certify that this correspondence is being deposited with the United States Postal Service as express mail, Express Mail Label No. EL 448312533US with sufficient postage, in an envelope addressed to: Commissioner for Patents, Washington, D.C. 20231, on 5/24/02

Date: 5/23/02

Signature: 

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|   |                                  |                                |
|---|----------------------------------|--------------------------------|
| FORM PTO-1449   | SERIAL NO.<br>09/991,854         | CASE NO.<br>10466/222          |
| LIST OF PATENTS AND PUBLICATIONS FOR<br>APPLICANT'S INFORMATION DISCLOSURE<br>STATEMENT | FILING DATE<br>November 14, 2001 | GROUP ART UNIT<br>1645         |
| (use several sheets if necessary)   |                                  | APPLICANT(S): Ashkenazi et al. |

## REFERENCE DESIGNATION

## U.S. PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | NAME | CLASS/<br>SUBCLASS | FILING<br>DATE |
|---------------------|--------------------|------|------|--------------------|----------------|
|                     |                    |      |      |                    |                |
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## FOREIGN PATENT DOCUMENTS

| EXAMINER<br>INITIAL | DOCUMENT<br>NUMBER | DATE | COUNTRY | CLASS/<br>SUBCLASS | TRANSLATION<br>YES NO |
|---------------------|--------------------|------|---------|--------------------|-----------------------|
|                     |                    |      |         |                    |                       |
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|                     |                    |      |         |                    |                       |
|                     |                    |      |         |                    |                       |
|                     |                    |      |         |                    |                       |

| EXAMINER<br>INITIAL | OTHER ART (Including Author, Title, Date, Pertinent Pages, etc.) |                               |
|---------------------|--|-------------------------------|
| ↓                   | A1   | Blast Results A1-A18, GenBank |
|                     | A2   | Blast Results, B1-B3, Dayhoff |
|                     |  |                               |
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|          |                 |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.